

PATENT APPLICATION SERIAL NO. **09/202424**

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

12/21/1998 WCLAYBRO 00000009 09202424

| | |
|-----------|-----------|
| 01 FC:970 | 840.00 OP |
| 02 FC:154 | 130.00 OP |
| 03 FC:966 | 108.00 OP |
| 04 FC:968 | 260.00 OP |
| 05 FC:156 | 130.00 OP |

05/10/1999 WCLAYBRO 00000087 162128 09202424

01 FC:966 18.00 CH

PTO-1556
(5/87)

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

G-41

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/202424

INTERNATIONAL APPLICATION NO.

PCT/FR98/00582

INTERNATIONAL FILING DATE

March 20, 1998

PRIORITY DATE CLAIMED

April 11, 1997

TITLE OF INVENTION

Security Procedure For Controlling The Transfer of Value
Units In A Chip Card Gaming System

APPLICANT(S) FOR DO/EO/US

ORRIS, Harve and FOGLINO, Jean-Jacques

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau. PCT/IB/308 attached ✓
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)). (To Follow)
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). Unsigned
10. ☐ A translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

1. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. (To follow)
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. (To Follow)
13. ☐ A FIRST preliminary amendment. (To follow)
- ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

01/95

09/202424

305 Rec'd PTO 10 DEC 1998

"Express Mail" mailing label number 055 338 645-AP Date of Deposit DEC 10 1998
 I hereby certify that this application is being deposited with the United States Postal Service
 "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and
 is addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231.

Roland Pottel
 Roland Pottel

Transmitted herewith for filing is the patent application or

Inventor: ORUS, Harve and FOGLINO, Jean-Jacques

For: Security Procedure For Controlling The Transfer Of Value Units
In A Chip Card Gaming System

Enclosed are:

☐ _____ sheets of drawing.

☐ An assignment of the invention to Gemplus S.C.A.

To follow

From IB

☒ A certified copy of a French application No 97/04733
 the priority of which is hereby claimed, pursuant to the International Convention for
 the protection of Industrial Property (613 OG 23, 53 Stat. 1748, MPEP 201.13).
☐ A verified statement to establish small entity status under 37 CFR 1.9
 and 37 CFR 1.27.

☒ PCT/US/DO based on PCT/FR98/00582

The filing fee has been calculated as shown below:

| | (Col. 1) | (Col. 2) | SMALL ENTITY | | OR | OTHER THAN A SMALL ENTITY | |
|--|-----------|-----------|--------------|-----|----|---------------------------|---------|
| FOR: | NO. FILED | NO. EXTRA | RATE | FEE | | RATE | FEE |
| BASIC FEE | | | | \$ | | | \$840 |
| TOTAL CLAIMS | 26 -20= | * | X 11 | \$ | | X 28 | \$ |
| INDEP CLAIMS | 1 -3= | * | X 39 | \$ | | X 78 | \$ |
| | | | + 125 | \$ | | + 250 | \$ |
| <input checked="" type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED | | | TOTAL | \$ | | TOTAL | \$1,390 |

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2

\$40.00 Assignment Recording Fee:

- ☐ Please charge my Deposit Account No. 16-2128 in the amount of \$1,468. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$1,468 to cover the filing/fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 16-2128. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 16-2128. A duplicate copy of this sheet is attached.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
- ☒ Any filing fees under 37 CFR 1.16

Address all future correspondence and telephone calls to applicant's attorney whose address and telephone is listed below:

212 489-7073

ROLAND PLOTTEL
 Rockefeller Center Station
 P.O. Box 293
 New York, NY 10185

Roland Pottel
 ROLAND PLOTTEL PTO No. 20707

Prior art Statement form 1449

PCT/FR98/00582

G-41

17. ☐ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1070.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$930.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$790.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$720.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$98.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**CALCULATIONS PTO USE ONLY**

\$ 840.-

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 130

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
|--------------------|--------------|--------------|-----------|--------|
| Total claims | 26 - 20 = | 6 | x \$22.00 | \$ 108 |
| Independent claims | 1 - 3 = | 0 | x \$82.00 | \$ 0 |

MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$270.00 260

\$ 260

TOTAL OF ABOVE CALCULATIONS =

\$ 1,338.-

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$

SUBTOTAL =

\$

Processing fee of \$130.00 for furnishing the English translation later than ☒ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 130.-

TOTAL NATIONAL FEE =

\$ 1,468.-

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$ 1,468

Amount to be
refunded:

\$

charged:

\$

a. ☒ A check in the amount of \$ 1,468 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 16-2128. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Roland Plottel
Rockefeller Center Stn.
P.O. Box 293
New York, NY 10185-0293

SIGNATURE

Roland Plottel

NAME

20707

REGISTRATION NUMBER